

SPAWARINST 12451.5
SPAWAR 07-02
19 March 1998

SPAWAR INSTRUCTION 12451.5

From: Commander, Space and Naval Warfare Systems Command

Subj: DEMONSTRATION PROJECT INCENTIVE AWARDS PROGRAM

Ref: (a) CPI 451
(b) SPAWARINST 1650.1B
(c) SPAWAR Awards and Recognition Guidebook

Encl: (1) Quarterly Schedule of Honorary Awards
(2) Awards requiring approval of the cognizant Assistant Secretaries of the Navy
(3) Awards requiring approval of the Secretary of the Navy
(4) Procedures for submitting internal awards
(5) Tangible and Intangible Benefits Tables
(6) Time-Off Award Scale
(7) Time-Off Award Application

1. Purpose. To provide current Space and Naval Warfare Systems Command (SPAWAR) policy regarding the Incentive Awards Program. This instruction supplements guidance provided in reference (a). Policy and procedures governing military awards are located in reference (b). Reference (c) provides detailed information on purpose, eligibility and criteria for honorary and monetary awards and is to be used in implementing this instruction.

2. Cancellation. This instruction cancels SPAWARINST 12451.3A of 11 December 1990 and SPAWARINST 12451.4 of 24 June 1994.

3. Applicability. This instruction is applicable to SPAWAR Headquarters, the Program Executive Office for Space, Communications and Sensors (PEO-SCS) and SPAWAR Systems Centers civilian employees.

4. Policy. It is SPAWAR policy to: (a) encourage participation in the Incentive Awards Program by providing appropriate and timely recognition to individuals and groups for special achievements, and (b) emphasize the achievement of command goals. Under the Demonstration Project, employees receive monetary rewards through the Performance Management System. On-the-Spot cash awards are also available. Monetary awards other than On-the-Spot Awards are to be used as an exception to the Demonstration Project Performance Management System, and will only be approved on a case-by-case basis.

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5. Incentive Awards Program Administrator (IAPA). The Head, Human Resources Office, Code 07-2, is designated as the SPAWAR IAPA. SPAWAR Systems Centers are required to designate local IAPA's.

6. Incentive Awards Review Board (IARB). SPAWAR Headquarters will have an IARB to evaluate headquarters nominations submitted for Special Act awards and honorary awards. The IARB will consist of a minimum of three members; at least one of which will be military. The PEO-SCS Board of Directors will evaluate Special Act awards and honorary awards for the PEO-SCS employees.

7. Delegation of Authority.

a. Headquarters.

(1) Authority is delegated to SPAWAR Headquarters Directorate/Staff Office Heads to approve and/or pay On-the-Spot Awards, Time-Off Awards, Exemplary Achievement Award, Group Achievement Awards, and letters of appreciation or commendation. The IARB does not review these awards. The Program Executive Officer is the approval authority for these awards for PEO-SCS employees.

(2) After review by the IARB, Vice Commander/Deputy Commander, SPAWAR, may approve cash awards up to \$5,000 for individuals and \$10,000 for group awards and honorary awards up to and including the Navy Meritorious Civilian Service Award (NMSCA). After review by the PEO-SCS Board of Directors, the PEO may approve such awards for PEO-SCS except for the NMSCA. The NMSCA award must be approved by the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) for PEO-SCS employees. Awards approved at this level shall be presented in an appropriate Command awards ceremony.

(3) The Commander, SPAWAR, and PEO-SCS have authority to approve individual cash awards in the amount of \$5,001 to \$7,500, group awards in the amount of \$10,000, and the Navy Superior Civilian Service Award (NSCSA). For PEO-SCS employees, the NSCSA must be approved by ASN(RD&A). The Navy Distinguished Civilian Service Award (NDCSA) must be approved by the Secretary of Navy (SECNAV).

b. SPAWAR Systems Centers.

(1) Reference (a) delegates authority to Commanding Officers of SPAWAR Systems Centers to pay cash awards up to \$5,000 for individuals and \$10,000 for group awards and honorary awards up to and including the NMSCA. Commanding Officers may further re-delegate these authorities to organizational entities under their cognizance.

(2) SPAWAR Systems Centers may develop internal procedures within the guidelines of this instruction for approval of awards. External honorary award nominations may be forwarded directly to the applicable Deputy Assistant Secretary of the Navy (DASN) with a copy to Commander, SPAWAR.

c. Awards that require review by the Department of the Navy Awards Review Panel (DARP) for approval by cognizant Assistant Secretaries of the Navy are included in enclosure (2).

d. Awards that require review by the DARP and/or approval of the Secretary of the Navy are included in enclosure (3).

8. Definitions.

a. Contribution. An accomplishment achieved through an individual, group, or team effort which contributes to the efficiency, economy, cost avoidance or other beneficial impact to the general workplace, public welfare or the overall Department of the Navy mission.

b. Incentive Award. An award granted for a significant one-time achievement of an individual or group. These awards may be cash or honorary, and recognize contributions which have had significant impact in a specific field or, at a minimum, had exceptional value at the activity level and some benefits to Navy or the Federal service. Enclosure (1) provides a list of some of the more notable honorary awards. An incentive award does not include continuing points or bonus points awarded for a performance rating. Procedures for submitting and processing awards for SPAWAR Headquarters personnel are contained in enclosure (4). PEO-SCS will publish separate guidance for processing and submitting PEO-SCS awards.

c. Intangible Benefits. Benefits which cannot be measured in terms of dollar savings and will be evaluated using the tables found in enclosure (5).

d. Length of Service Award. An award granted to recognize longevity by civilian employees. SPAWAR headquarters personnel will receive an emblem and a certificate signed by COMSPAWAR and presented to employees who have 10, 15, 20, 25, 30 and 35 years of service. PEO-SCS presents these awards to PEO-SCS employees. An emblem and certificate signed by Secretary of the Navy (SECNAV) is presented to employees who have 40, 45, and 50 years of service. SPAWAR Systems Centers may develop internal guidelines for presentation of length of service awards.

e. Non-monetary award. An award in which the recognition device is not a cash payment or time-off as an award but rather an award of an honorific value. These awards can take the form of letters of commendation, coffee mugs, plaques or other items bearing insignia. They can be used in lieu of or in addition to monetary awards. These awards recognize individual accomplishment of specific goals or suggestions, which lead to time or cost savings.

f. On-the-Spot Award. A Special Act Award for a one-time achievement which provides an immediate reinforcement for exceptional performance beyond the normal bounds of an employee's job and which benefits the local workplace. Awards will be between \$25 and \$750. Appropriate award amount is based on the tangible and/or intangible tables, enclosure (5). Wage system employees are eligible for On-the-Spot awards.

g. Special Act Award. An award granted to a group or individual in recognition of a non-recurring contribution either within or outside of normal job responsibility such as a scientific or value engineering achievement, act of heroism, or exemplary accomplishment. Generally, a Special Act award will pertain only to wage system employees. While Demonstration Project employees are not precluded from receiving this award, the bonus award within the performance management program is usually more appropriate and should be considered first.

h. Tangible Benefits. Benefits or savings, which can be measured in dollar terms, and evaluated using the tables contained in enclosure (5). Measurable savings on identified overhead items and accelerated labor rates will be included in calculating actual tangible benefits.

i. Time-Off Award (TOA). TOAs are an alternate means of recognizing the superior accomplishments or achievements of employees with other than monetary or non-monetary awards. Decisions to grant TOAs shall be based upon the same criteria or circumstances as for any other award. Examples of achievements which may be considered for a TOA are: making a high quality contribution involving a difficult or important project or assignment; displaying special initiative and skill in completing an assignment or project before the deadline; using initiative and creativity in making improvements in a product, activity, program or service; ensuring the mission of the unit is accomplished during a difficult period by successfully completing additional work or a project assignment while maintaining the employee's own workload; and accomplishing a specific, one-time, or special assignment that required extra effort or resulted in the organization receiving recognition for responsiveness to unprogrammed requirements. A TOA award is an excused absence granted to an employee without charge to leave or loss of pay from one hour to no more than 40 hours for any single contribution and not to exceed 80 hours in any calendar year. The appropriate award amount is based on the

TOA scale, enclosure (6). TOA's may be recommended by using the TOA application form, enclosure (7). When the TOA is approved by the approving official, the award may be used. The SF-50 will reflect the approval date as the effective date of the TOA. A TOA can be transferred within the Department of Navy; however, it must be scheduled and used within one year after the effective date of the award. A TOA cannot be transferred between Department of Defense (DOD) components or outside of DOD components.

9. Funding. Funds to pay monetary awards will be limited to 1/10% of the labor costs per year.

10. Presentation of Awards. Significant awards and honors should be presented with an appropriate ceremony.

11. Reports. SPAWAR Systems Center Civilian Personnel Support Offices (CPSO) are responsible for inputting employee awards data to the Defense Civilian Personnel Data Systems (DCPDS) and maintaining awards records. Directorates/Staff Office Heads are responsible for providing copies of all awards to the IAPA, Code 07-2. The IAPA, Code 07-2, will provide reports as required.

12. Forms. The TOA application form is in enclosure (7) of this instruction and may be reproduced locally.

13. Action. Addressees will establish appropriate procedures to ensure compliance with the provisions of this instruction.

/s/

G.F.A. Wagner
Rear Admiral, U.S. Navy

Distribution:
SPAWAR List 3
SNDL Part II:
FKQ (SPAWARSYSCENs)
PEO-SCS

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QUARTERLY SCHEDULE OF HONORARY AWARDS

1. AWARDS DUE TO SPAWAR DURING 1ST QUARTER OF CALENDAR YEAR

<u>NAME</u>	<u>DATE DUE TO SPAWAR</u>
*American Society of Military Comptrollers Annual Awards	January
Association of Government Accountants of WASH, DC Annual Awards	January
SECNAV Energy Conservation Award	January
Information Resources Management Awards Program	January
Information Resources Management Professional Service Award	January
Institute of Navigation Awards	January
William A. Jump Memorial Award	January
Allen Ogden Competitive Program	January
Navy League Award (12)	January
SECDEF Superior Management Award	January
SECNAV/SECDEF Environmental Protection Annual Awards	January
DON Awards for Achievement in Safety Ashore	February
SECNAV Natural Resources Conservation	February
SECDEF Awards for Natural Resources and Environmental Management	February

Enclosure (1)

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Achievement in Managing Information Technology	February
Association of Old Crows (Unit)	March
Federal Energy Efficiency Awards	March
Naval Submarine League Award (3)	March
RADM William Thompson Awards Program	March
*Warren Stockberger Achievement Award	March

II. AWARDS DUE TO SPAWAR DURING 2ND QUARTER OF CALENDAR YEAR

Association of Federal Investigators Annual National Awards	April
*Outstanding Federal Employee with Disabilities for the year 19__	April
William T. Pecora Awards	April
*GSA Award for Excellence in Administration	May
Association of Old Crows (individual)	May
National Medal of Science	June
SECNAV Productivity Excellence Award	June

III. AWARDS DUE TO SPAWAR DURING 3RD QUARTER OF CALENDAR YEAR

Senior Executive Association Annual Executive Excellence Awards	July
*Excaliber Award	July
CAPT Robert Dexter Conrad Award for Scientific Achievement	August

Enclosure (1)

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Media Awards Program	August
*National Public Service Awards	September
Maurice Ewing Award for Oceanography	September
Federal Environmental Engineer of the Year	September
*Roger W. Jones Award	September
Federal Engineer of the Year Award	September
Quality and Productivity Prototype Award	September
DON Procurement Competition Award	September
SECDEF Productivity Excellence Award	September

IV. AWARDS DUE TO SPAWAR DURING 4TH QUARTER OF CALENDAR YEAR

Federal Executive Institute Alumni Association Executive of the Year	October
*Arthur S. Flemming Award	October
John E. Fogarty Award	October
*Alan T. Waterman Award	October
*Women in Science and Engineering (WISE) Awards (3)	October
Action Plus Awards	October
SPAWAR Annual EEO/EO Program Award	October
Nathaniel Stinson EEO Program Award	October
American Society of Naval Engineers Awards (4)	December
*DOD Distinguished Civilian Service	December

Enclosure (1)

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Presidential Volunteer Action Awards

December

Armed Forces Communications and Electronic
Association

December

V. AWARDS THAT MAY BE SUBMITTED TO SPAWAR ANYTIME DURING
THE CALENDAR YEAR

*DON Certificate of Commendation

*DON Certificate of Merit

*DON Meritorious Public Service Award

*DON Distinguished Public Service Award

*DON Superior Public Service Award

*DOD Medal for Distinguished Public Service

*DON Medal for Distinguished Public Service

*DON Distinguished Achievement in Science

*DON Distinguished Civilian Service

*DON Award of Merit for Group Achievement

DON Superior Civilian Service Award

DON Meritorious Civilian Service Award

*DON Length of Service Awards

*DOD Meritorious Civilian Service Award

*DOD Meritorious Award

*SECDEF Award for Outstanding Public Service

Enclosure (1)

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SECDEF Letter of Commendation

*SECNAV Award for Special Achievement by a DON Contractor

Arctic Service Ribbon

Presidential Citizens Medal

Customer Service Honor Roll

*Presidential Medal of Freedom

Presidential Letter of Commendation

Presidential Management Improvement

Military Cash Awards Program

Savings Bonds Awards

VI. PRESIDENTIAL CALLS

National Medal of Technology

President's Award for Distinguished Federal Civilian Service

* Award Nomination Must be Approved by DARP

Enclosure (1)

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AWARDS TO BE REVIEWED BY THE DEPARTMENT OF NAVY AWARDS
REVIEW PANEL (DARP) FOR APPROVAL BY COGNIZANT ASSISTANT
SECRETARIES OF THE NAVY

ASSISTANT SECRETARY OF THE NAVY (MANPOWER AND RESERVE
AFFAIRS)

WOMEN IN SCIENCE AND ENGINEERING (WISE) AWARD
FEDERAL ENGINEER OF THE YEAR AWARD
CONGRESSIONAL AWARD FOR EXEMPLARY SERVICE TO THE PUBLIC
ARTHUR S. FLEMMING AWARD
GEICO PUBLIC SERVICE AWARD
ROGER W. JONES AWARD FOR EXECUTIVE LEADERSHIP
OUTSTANDING HANDICAPPED FEDERAL EMPLOYEE OF THE YEAR
AWARD
OUTSTANDING DON EMPLOYEE WITH DISABILITIES AWARD
NATIONAL PUBLIC SERVICE AWARD
WILLIAM A. JUMP MEMORIAL AWARD

ASSISTANT SECRETARY OF THE NAVY (RESEARCH, DEVELOPMENT AND
ACQUISITION)

ANTARCTICA AWARD

ASSISTANT SECRETARY OF THE NAVY (FINANCIAL MANAGEMENT)

DONALD L. SCANTLEBURY AWARD

Enclosure (2)

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AWARDS TO BE REVIEWED BY THE DEPARTMENT OF NAVY AWARDS
REVIEW PANEL (DARP) REQUIRING REVIEW AND/OR APPROVAL OF THE
SECRETARY OF THE NAVY*

DON DISTINGUISHED CIVILIAN SERVICE AWARD
DON DISTINGUISHED PUBLIC SERVICE AWARD
DON SUPERIOR PUBLIC SERVICE AWARD
DON DISTINGUISHED ACHIEVEMENT IN SCIENCE AWARD

DOD DISTINGUISHED CIVILIAN SERVICE AWARD
DOD DISTINGUISHED PUBLIC SERVICE AWARD
SECDEF MERITORIOUS CIVILIAN SERVICE AWARD
SECDEF AWARD FOR OUTSTANDING PUBLIC SERVICE

SPECIAL ACT AWARDS OF MORE THAN \$7,500 UP TO \$10,000 FOR
EACH INDIVIDUAL

SENIOR EXECUTIVES ASSOCIATION/PROFESSIONAL DEVELOPMENT
LEAGUE EXECUTIVE EXCELLENCE AWARD
FEDERAL EXECUTIVE INSTITUTE ALUMNI ASSOCIATION EXECUTIVE
OF THE YEAR AWARD
PRESIDENT'S AWARD FOR DISTINGUISHED FEDERAL CIVILIAN
SERVICE
PRESIDENTIAL MEDAL OF FREEDOM
PRESIDENTIAL CITIZEN'S MEDAL
NATIONAL SECURITY MEDAL

*Individual monetary awards in excess of \$10,000 will be endorsed by the DARP and
forwarded to the Office of Personnel Management via the Office of the Secretary of
Defense for approval.

Enclosure (3)

SPAWAR HEADQUARTERS PROCEDURES FOR SUBMITTING INTERNAL
AWARDS

1. SPECIAL ACT AWARDS (UP TO \$5,000 INDIVIDUAL/\$10,000 GROUP)

a. Award package requirements

(1) Original and 3 copies of award justification – or send electronically to Code 07-23.

(2) Letter of appreciation from Commander.

(3) SF-52*

(a) Prepared for the Commander/Deputy Commander's signature.

(b) Must contain a Unit Identification Code (UIC).

b. Processing of award

(1) After receipt of award, Code 07-23 prepares package for IARB.

(2) IARB meets three Tuesdays of the month (after the 00 Staff Meeting) to review awards.

(a) Approved awards forwarded to Code 00, via 03 and 09, with a statement that the award recommendation has been approved by the IARB. If award is approved, signs the SF-52 and letter of appreciation and forwards to Code 07-23.

(b) Disapproved awards will be forwarded to the originating Directorate/Staff Office Head.

(3) Code 07-23 logs applicable information, secures funding criteria from Code 01-2 and forwards the SF-52 to the SPAWAR Systems Center San Diego CPSO for processing.

(4) SPAWAR Systems Center San Diego CPSO processes award and forwards SF-50 to Code 07-23 to prepare award package for presentation.

Enclosure (4)

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*Special Act Awards for non-SPAWAR Headquarters personnel do not require an SF-52. However, they do require a funding document, which transfers the money to pay the award. (Funding documents are obtained from Code 01-2)

2. ON-THE-SPOT AWARD.

a. Award package requirements

(1) Original justification

(2) Signed Letter of appreciation from Directorate/Staff Office Head

(3) SF-52

(a) Signed by the Directorate/Staff Office Head

(b) Must contain UIC

b. Processing of award

(1) Route through code 07-23. Code 07-23 logs applicable information, secures funding criteria from Code 01-2 and forwards the SF-52 to the SPAWAR Systems Center San Diego CPSO for processing.

(2) SPAWAR Systems Center San Diego CPSO processes award and forwards SF-50 to Code 07-23 to prepare award package for presentation.

3. TIME-OFF AWARD (TOA)

a. Award package requirements

(1) Completed TOA application form, enclosure (7).

b. Processing

(1) Route through Code 07-23. Code 07-23 forwards TOA form to SPAWAR Systems Center San Diego CPSO.

(2) SPAWAR Systems Center San Diego CPSO processes award and forwards SF-50 to Code 07-23.

Enclosure (4)

4. HONORARY AWARDS (APPROVED BY COMMANDER, SPAWAR)

a. Award package requirements

- (1) Original and 3 copies of award justification – or send electronically to Code 07-23.
- (2) Letter of appreciation from Commander.

b. Processing of award

- (1) After receipt of award, Code 07-23 prepares package for IARB.
- (2) IARB reviews awards. If award is approved, certificates are ordered from SPAWAR Systems Center San Diego CPSO. When the certificate is received, the award nomination, letter of appreciation and certificate are forwarded to Code 00, via 03 and 09, for appropriate signatures. The route sheet will contain a statement that the award recommendation has been approved by the IARB.

5. HONORARY AWARDS (APPROVED BY DIRECTORATE/STAFF OFFICE HEAD)

a. Award package requirements

- (1) Award justification

b. Processing

- (1) Code 07-23 orders certificates from SPAWAR Systems Center San Diego CPSO.
- (2) SPAWAR Systems Center San Diego CPSO prepares certificate and forwards to Code 07-23.
- (3) Code 07-23 prepares package for presentation.

Enclosure (4)

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SCALE OF AWARD AMOUNTS BASED ON
TANGIBLE BENEFITS

<u>BENEFITS</u>	<u>AWARD</u>
<u>Estimated First Year Benefits</u>	<u>Amount of Award to Employee</u>
Up to \$10,000 in benefits	10% of benefits
Between \$10,000 and \$100,000 in benefits	\$1,000 plus 3% to 10% of benefits over \$10,000
More than \$100,000 in benefits	\$3,700 to \$10,000 for the first \$100,000 in benefits, plus 0.5% to 1.0% of benefits above \$100,000 up to \$25,000, with the approval of the Office of Personnel Management via the Office of the Secretary of Defense. Presidential approval is Required for all awards of more than \$25,000.

Enclosure (5)

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**SCALE OF AWARD AMOUNTS BASED ON
INTANGIBLE BENEFITS**

VALUE OF BENEFIT	EXTENT OF APPLICATION			
	LIMITED Affects functions, mission, or personnel of one facility, installation, regional area, or an organizational element of headquarters. Affects small area of science or technology.	EXTENDED Affects functions, mission, or personnel of an entire regional area, command, or bureau. Affects an important area of science or technology.	BROAD Affects functions, mission, or personnel of several regional areas or commands, or an entire department or agency. Affects an extensive area of science or technology.	GENERAL Affects functions, mission, or personnel of more than one department or agency, or is in the public interest throughout the Nation and beyond.
MODERATE Change or modification of an operating principle or procedure with limited use or impact.	\$25 - \$500	\$501 - \$750	\$751 - \$1,000	\$1,001 - \$1,500
SUBSTANTIAL Substantial change or modification of procedures. An important improvement to the value of a product, activity, program, or service to the public	\$501-\$750	\$751-\$1,000	\$1,000-\$1,500	\$1,501-\$3,150
HIGH Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product or service.	\$751-\$1,000	\$1,001-\$1,500	\$1,501-\$3,150	\$3,151-\$6,300
EXCEPTIONAL Initiation of a new principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.	\$1,001-\$1,500	\$1,501-\$3,150	\$3,151-\$6,300	\$6,301-\$10,000

Enclosure (5)

TIME-OFF AWARDS SCALE

VALUE TO THE ORGANIZATION

NUMBER OF HOURS

Moderate:

1 to 10

(1) A contribution to a product, activity, program, or service to the public, which is of sufficient value to merit formal recognition.

(2) Beneficial change or modification of operating principles or procedures.

Substantial:

11 to 20

(1) An important contribution to the value of a product, activity, program, or service to the public.

(2) Significant change or modification of operating principles or procedures.

High:

21 to 30

(1) A highly significant contribution to the value of a product, activity, program, or service to the public.

(2) Complete revision of operating principles or procedures, with considerable impact.

Exceptional:

31 to 40

(1) A superior contribution to the quality of a critical product, activity, program, or service to the public.

(2) Initiation of a new principle or major procedure, with significant impact.

Enclosure (6)

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TIME-OFF AWARDS PROGRAM

Name of Awardee	Employee Social Security No.	Date (Month/Day/Year)
CODE:	NUMBER OF HOURS OF TIME OFF GRANTED:	
Award By (Name and Title)		Date (Month/Day/Year)
Approved By (Name and Title)		Date (Month/Day/Year)
Time-Off Award Must Be Used By: Date (Month/Day/Year) Not Later than 1 year after date of approval		
Reason for Award Summary statement explaining how the employee met one of the criteria for a Time-Off Award		
TIME-OFF AWARDS PROGRAM		
Cumulative Hours per Calendar Year of Time-Off Without Charge to Leave or Loss of Pay	Granted to: Name of Awardee (Last, First, Middle Initial)	

Enclosure (7)